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## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER

FILING/RECEIPT DATE

FIRST NAMED APPLICANT

ATTORNEY DOCKET NUMBER

09/932,578

08/17/2001

Blake Lewis

103.1072.01

CONFIRMATION NO. 5197

FORMALITIES LETTER



\*OC000000006506527\*

RECEIVED

SEP 08 2007

SWERNOFSKY  
LAW GROUP

Date Mailed: 09/04/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$902.
  - \$342 for 19 total claims over 20.
  - \$560 for 7 independent claims over 3 .
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1742.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- An Abstract not to exceed 150 words in length, commencing on a separate sheet (37 CFR 1.72(b)).

01/23/2002 TV0111 00000023 500365 09932578

|           |           |
|-----------|-----------|
| 01 FC:101 | 740.00 CH |
| 02 FC:102 | 588.00 CH |
| 03 FC:103 | 342.00 CH |
| 04 FC:105 | 130.00 CH |

*A copy of this notice **MUST** be returned with the reply.*

CTS  
M  
TOK





22883

PTO/SB/21 (08-00)

Approved for [redacted] through 10/31/2002. OMB 0651-0031

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**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

13

Application Number

09/932,578

Filing Date

Aug 17, 2001

First Named Inventor

Lewis

Group Art Unit

NYA

Examiner Name

NYA

Attorney Docket Number

103.1072.01

**ENCLOSURES (check all that apply)**

Fee Transmittal Form

Fee Attached Credit Card  
Payment Form - 2038

Amendment / Reply



After Final



Affidavits/declaration(s)



Extension of Time Request



Express Abandonment Request



Information Disclosure Statement

Certified Copy of Priority  
Document(s)Response to Missing Parts/  
Incomplete ApplicationResponse to Missing  
Parts under 37 CFR  
1.52 or 1.53Assignment Papers  
(for an Application)

Drawing(s)



Licensing-related Papers



Petition

Petition to Convert a  
Provisional ApplicationPower of Attorney, Revocation  
Change of Correspondence Address

Terminal Disclaimer



Request for Refund



CD, Number of CD(s) \_\_\_\_\_

After Allowance Communication to  
GroupAppeal Communication to Board of  
Appeals and InterferencesAppeal Communication to Group  
(Appeal Notice, Brief, Reply Brief)

Proprietary Information



Status Letter

Other Enclosure(s)  
(please identify below):**Abstract****37 CFR 3.73(b) Stmt.****Return Postcard**

Remarks:

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**Firm  
or  
Individual name

Steven A. Swernofsky

Reg. no. 33,040

Signature

Date

11/30/01

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on this date: 11-30-01

Type or printed name

Arlette Malhas, Paralegal

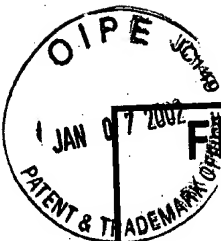
Signature

Arlette Malhas

Date

11-30-01

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22883

PATENT TRADEMARK OFFICE

PTO/SB/17 (10-01)  
Approved for use through 10/31/2002. OMB 0651-0032  
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**FEE TRANSMITTAL**  
**for FY 2002**

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$110.00)

**Complete if Known**

|                      |               |
|----------------------|---------------|
| Application Number   | 09/932,578    |
| Filing Date          | 8/17/2001     |
| First Named Inventor | Lewis, et al. |
| Examiner Name        | NYA           |
| Group/Art Unit       | NYA           |
| Attorney Docket No.  | 103.1072.01   |

**METHOD OF PAYMENT (check one)**

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit  
Account  
Number

50-0365

Deposit  
Account  
Name

Swernofsky Law Group

- ☒
- Charge Any Additional Fee Required
- 
- Under 37 CFR 1.16 and 1.17

- ☐
- Applicant claims small entity status.
- 
- See 37 CFR 1.27

- 2.
- ☒
- Payment Enclosed:**

- ☐
- Check
- ☒
- Credit card
- ☐
- Money
- 
- Order
- ☐
- Other

**FEE CALCULATION****1. BASIC FILING FEE**

| Large Entity<br>Fee<br>Code | Large Entity<br>Fee<br>(\$) | Small Entity<br>Fee<br>Code | Small Entity<br>Fee<br>(\$) | Fee Description        | Fee Paid |
|-----------------------------|-----------------------------|-----------------------------|-----------------------------|------------------------|----------|
| 101                         | 740                         | 201                         | 370                         | Utility filing fee     |          |
| 106                         | 330                         | 206                         | 165                         | Design filing fee      |          |
| 107                         | 510                         | 207                         | 255                         | Plant filing fee       |          |
| 108                         | 740                         | 208                         | 370                         | Reissue filing fee     |          |
| 114                         | 160                         | 214                         | 80                          | Provisional filing fee |          |

SUBTOTAL (1) (\$)

**2. EXTRA CLAIM FEES**

| Total Claims       | Extra Claims | Fee from<br>Below | Fee Paid |
|--------------------|--------------|-------------------|----------|
| Independent Claims | -20**=       | X                 | =        |
| Multiple Dependent | -3**=        | X                 | =        |

| Large Entity<br>Fee<br>Code | Large Entity<br>Fee<br>(\$) | Small Entity<br>Fee<br>Code | Small Entity<br>Fee<br>(\$) | Fee Description                                              |
|-----------------------------|-----------------------------|-----------------------------|-----------------------------|--------------------------------------------------------------|
| 103                         | 18                          | 203                         | 9                           | Claims in excess of 20                                       |
| 102                         | 84                          | 202                         | 42                          | Independent claims in excess of 3                            |
| 104                         | 280                         | 204                         | 140                         | Multiple dependent claim, if not paid                        |
| 109                         | 84                          | 209                         | 42                          | **Reissue independent claims<br>over original patent         |
| 110                         | 18                          | 210                         | 9                           | **Reissue claims in excess of 20<br>and over original patent |

SUBTOTAL (2) (\$)

\*\*or number previously paid, if greater; For Reissues, see below

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

| Large Entity<br>Fee<br>Code | Large Entity<br>Fee<br>(\$) | Small Entity<br>Fee<br>Code | Small Entity<br>Fee<br>(\$) | Fee Description                                                               | Fee Paid |
|-----------------------------|-----------------------------|-----------------------------|-----------------------------|-------------------------------------------------------------------------------|----------|
| 105                         | 130                         | 205                         | 65                          | Surcharge - late filing fee or oath                                           |          |
| 127                         | 50                          | 227                         | 25                          | Surcharge - late provisional filing fee or<br>cover sheet.                    |          |
| 139                         | 130                         | 139                         | 130                         | Non-English specification                                                     |          |
| 147                         | 2,520                       | 147                         | 2,520                       | For filing a request for reexamination                                        |          |
| 112                         | 920*                        | 112                         | 920*                        | Requesting publication of SIR prior to<br>Examiner action                     |          |
| 113                         | 1,840*                      | 113                         | 1,840*                      | Requesting publication of SIR after<br>Examiner action                        |          |
| 115                         | 110                         | 215                         | 55                          | Extension for reply within first month                                        | 110.00   |
| 116                         | 400                         | 216                         | 200                         | Extension for reply within second month                                       |          |
| 117                         | 920                         | 217                         | 460                         | Extension for reply within third month                                        |          |
| 118                         | 1,440                       | 218                         | 720                         | Extension for reply within fourth month                                       |          |
| 128                         | 1,960                       | 228                         | 980                         | Extension for reply within fifth month                                        |          |
| 119                         | 320                         | 219                         | 160                         | Notice of Appeal                                                              |          |
| 120                         | 320                         | 220                         | 160                         | Filing a brief in support of an appeal                                        |          |
| 121                         | 280                         | 221                         | 140                         | Request for oral hearing                                                      |          |
| 138                         | 1,510                       | 138                         | 1,510                       | Petition to institute a public use proceeding                                 |          |
| 140                         | 110                         | 240                         | 55                          | Petition to revive - unavoidable                                              |          |
| 141                         | 1,280                       | 241                         | 640                         | Petition to revive - unintentional                                            |          |
| 142                         | 1,280                       | 242                         | 640                         | Utility issue fee (or reissue)                                                |          |
| 143                         | 460                         | 243                         | 230                         | Design issue fee                                                              |          |
| 144                         | 620                         | 244                         | 310                         | Plant issue fee                                                               |          |
| 122                         | 130                         | 122                         | 130                         | Petitions to the Commissioner                                                 |          |
| 123                         | 50                          | 123                         | 50                          | Petitions related to provisional applications                                 |          |
| 126                         | 180                         | 126                         | 180                         | Submission of Information Disclosure Stmt                                     |          |
| 581                         | 40                          | 581                         | 40                          | Recording each patent assignment per<br>property (times number of properties) |          |
| 146                         | 740                         | 246                         | 370                         | Filing a submission after final rejection<br>(37 CFR § 1.129(a))              |          |
| 149                         | 740                         | 249                         | 370                         | For each additional invention to be<br>examined (37 CFR § 1.129(b))           |          |
| 179                         | 740                         | 279                         | 370                         | Request for Continued Examination (RCE)                                       |          |
| 169                         | 900                         | 169                         | 900                         | Request for expedited examination of a<br>design application                  |          |

Other fee (specify)

SUBTOTAL (3) (\$110.00)

\*Reduced by Basic Filing Fee Paid

**SUBMITTED BY**

Name (Print/Type) Steven A. Swernofsky

Signature

Registration No.

33,040

**Complete (if applicable)**

Telephone 650-947-0700

Date 11/30/01

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

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